

Form PTO-1449 (Substitute)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		Attorney Docket Number KLYC 1000-CIP-1-CIP-1-CIP-1 SRM		Serial/Patent Number 09/179,370 <u>09/473,173</u>	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <small>(Use several sheets if necessary)</small>				Applicant/Patent Owner James F. Zucherman, et al.			
				Filing/Issue Date October 27, 1998		Group Art Unit 3738 <u>3731</u>	
U.S. PATENT DOCUMENTS							
Examiner Initial	1	Document Number	Date	Name	Class	Subclass	Filing Date
DR		4,932,975	06/12/1990	Main et al.	—	—	
FOREIGN PATENT DOCUMENTS							
Examiner Initial		Document Number	Date	Country	Class	Subclass	Trans- lation Yes No
OTHER DOCUMENTS (Include Author, Title, Date, Pertinent pages, etc.)							
1	PCT Written Opinion for Int'l App. No. PCT/US97/23962, Int'l Filing Date 23 December 1997, mailed 09 November 1998 [Atty Docket No. KLYC 1000 (WO)] <u>NOT A PRINTED PUB.</u>						
Examiner	<i>Dr. W. O. Ref</i>			Date Considered <u>9/28/00</u>			
<p>*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p> <p>*1 = Copy not submitted because it was submitted in prior application SN <u> </u> / <u> </u>, filed <u> </u>, 19<u> </u>.</p> <p>*2 = Copy not submitted because it was submitted in prior application SN <u> </u> / <u> </u>, filed <u> </u>, 19<u> </u>.</p>							

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use several sheets if necessary)</i>				Applicant/Patent Owner James F. Zucherman, et al.		12/28/99 09/473,173 12/28/99	
				Filing/Issue Date October 27, 1998			
U.S. PATENT DOCUMENTS							
Examiner Initial	Serial	Document Number	Date	Name	Class	Subclass	Filing Date
DR	1	5,458,641	10/17/1995	Ramirez Jimenez			
DR	2	5,540,689	07/30/1996	Sanders et al.			
DR	3	5,702,455	12/30/1997	Saggar			
FOREIGN PATENT DOCUMENTS							
Examiner Initial	Serial	Document Number	Date	Country	Class	Subclass	Trans- lation Yes No
OTHER DOCUMENTS (Include Author, Title, Date, Pertinent pages, etc.)							
4	PCT Written Opinion for Int'l App. No. PCT/US98/22709, Int'l Filing Date—27 October 1998, mailed 13 January 1999 [Atty Docket No. KLYC 1000-CIP-1-CIP-1-CIP-1 (WO)] — NOT A PRINTED PUB.						
5	PCT Written Opinion for Int'l App. No. PCT/US98/22285, Int'l Filing Date—21 October 1998, mailed 14 January 1999 [Atty Docket No. KLYC 1000-CIP-1-CIP-1 (WO)] — NOT A PRINTED PUB.						
Examiner <i>David O. Ref</i>				Date Considered 9/28/00			
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <small>(Use several sheets if necessary)</small>				Applicant/Patent Owner James F. Zucherman, et al.		Group Art Unit 3738 3731	
				Filing/Issue Date October 27, 1998			

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U.S. PATENT DOCUMENTS							
Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date

FOREIGN PATENT DOCUMENTS							
Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation Yes No

OTHER DOCUMENTS (Include Author, Title, Date, Pertinent pages, etc.)		
DR	1	Waldemar Link, <i>Spinal Surgery: Instrumentation and Implants for Spinal Surgery</i> . Distributed by Link America Inc., New Jersey, 1981.

Examiner <i>Daniel O. Rep</i>	Date Considered <i>9/28/00</i>
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use several sheets if necessary)</i>				Applicant/Patent Owner James F. Zucherman, et al.		Group Art Unit 373.1	
				Filing/Issue Date October 20, 1998			

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U.S. PATENT DOCUMENTS							
Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date	
DR	2,677,369	5/4/54	Knowles	Z			
DR	5,458,638	10/17/95	Kuslich et al.				
DR	5,593,409	1/14/97	Michelson				

FOREIGN PATENT DOCUMENTS							
Examiner Initial	Document Number	Date	Country	Class	Subclass	Trans- lation Yes No	

OTHER DOCUMENTS (Include Author, Title, Date, Pertinent pages, etc.)							

Examiner <u>Daniel O. Reif</u>	Date Considered <u>9/28/00</u>
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	Applicant/Patent Owner James F. Zucherman, et al.		Filing/Issue Date October 27, 1997	Group Art Unit 3731	

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Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date
DR	1	3,426,364	02/1969	Lumb			
	2	3,648,691	03/1972	Lumb et al.			
	3	3,867,728	02/1975	Stubstad et al.			
	4	4,309,777	01/1982	A. A. Patil			
	5	4,349,921	09/1982	Kuntz			
	6	4,401,112	08/1983	Rezaian			
	7	4,479,491	10/1984	Martin			
	8	4,501,269	02/1985	Bagby			
	9	4,553,273	11/1985	K. K. Wu			
	10	4,599,084	07/1986	Nashef			
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	12	4,657,550	04/1987	Daher			
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	14	4,743,256	05/1988	Brantigan			
	15	4,772,287	09/1988	C. D. Ray			
	16	4,790,303	12/1988	Steffee			
	17	4,834,757	05/1989	Brantigan			
	18	4,878,915	11/1989	Brantigan			
	19	4,904,260	02/1990	C. D. Ray			
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	21	4,936,848	06/1990	Bagby			
	22	4,961,740	10/1990	Ray et al.			
	23	5,011,484	04/1991	Bréard			
	24	5,015,247	05/1991	Michelson			
	25	5,026,373	06/1991	Ray et al.			
	26	5,055,104	10/1991	Ray			
	27	5,059,193	10/1991	Kuslich			
DR	28	5,258,031	11/1993	Salib et al.			

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Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date
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	30	5,496,318	03/1996	Howland et al.			
	31	5,092,866	03/03/1992	Breard et al.			
	32	5,180,381	01/19/1993	Aust et al.			
	33	5,387,213	02/07/1995	Breard et al.			
	34	5,395,372	03/07/1995	Holt et al.			
	35	5,415,661	05/16/1995	Holmes			
DR	36	5,645,599	07/08/1997	Samani			

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Examiner Initial		Document Number	Date	Country	Class	Subclass	Translation Yes No
DR	37	DE 2821 678 B2	22.11.79	Germany			No
	38	EPO 0322334 A1	08.12.88	EPO			No
	39	WO90/00037	11 Jan. 1990	PCT			Yes
	40	2015507	1991/04/26	Canadian			Yes
	41	DE 31 13 142 A1	14.01.82	German			
	42	SU 1484348 A1	07.06.89	Soviet Union			
	43	WO 91/16018	31.10.1991	PCT			
DR	44	FR 2 681 525-A1	26.03.93	France			

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DR	45	Haruo Tsuji, et al., <i>Ceramic Interspinous Block (CISB) Assisted Anterior Interbody Fusion</i> , Journal of Spinal Disorders, Vol.3, No.1, pp.77-86, ©1990 Raven Press, Ltd., New York
DR	46	Richard W. Porter, MD, FRCS, FRCSE, <i>Spinal Stenosis and Neurogenic Claudication</i> , SPINE Volume 21, Number 17, pp.2046-2052, ©1996, Lippincott-Raven Publishers
DR	47	R.J. Minns and W.K. Walsh, <i>Preliminary Design and Experimental Studies of a Novel Soft Implant for Correcting Sagittal Plane Instability in the Lumbar Spine</i> , SPINE, Volume 22, Number 16, pp. 1819-1825, 1997.

Examiner

D. J. Rep

Date Considered

9/28/00

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